



IOWAccess Project Concept Paper

1. **Email completed copy to the IOWAccess Manager: malcolm.huston@iowa.gov .**
 2. **Send signed hard copy to Malcolm Huston, IOWAccess Manager, DAS-ITE, Hoover B Level, Des Moines, IA, 50319-0150.**
 3. **Contact ITE or vendor to prepare for project.**
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Date

9/2/2009

Project Name:

Cyber Security Education and Awareness Training

Requesting Agency:

DAS-ITE, Information Security Office

Is this project in support of a program designated as an Iowa Great Place, pursuant to section 303.3c?

No

Project Point(s)-of-Contact (*include name and phone number*)

Alison Radl, Information Security Office, 725-2019

Project Sponsor (*include name and phone number*)

John Gillispie, 515-725-4707

Jeff Franklin, 515-281-4820

Business Case Justification

Cyber security incidents, both accidental and intentional, are a growing problem. State and local governments, as well the public, are at risk. A 2006 Federal Trade Commission study estimated that identity theft affected 3.7 % of the population¹. If that trend continues over 100,000 Iowans could become victims of identity theft each year.

Security incidents are costly with the average out of pocket expense estimated at \$371 per incident. The total cost to Iowa is estimated to be \$37,100,000 per year. Identity theft resulting from a security incident also has non-financial effects such as:

- Damage to credit history,
- Harassment by collection agents, and
- Denial of credit.

The goal of this proposal is to promote information security awareness in state and local government as well as the general public. Schools, cities and counties are often not able to

¹ For more information on identity theft visit <http://www.ftc.gov/os/2007/11/SynovateFinalReportIDTheft2006.pdf>

employ full time security staff or provide security awareness training. Security awareness training delivered via a web-based delivery system can provide organizations and individuals the tools they need to prevent security incidents and identity theft.

Expected Results in this Project

This project will:

- Promote web-based information security awareness training in state and local government,
- Allow organizations to track their employee's participation the training,
- Provide training on Iowa's data breach law, and
- Reduce the accidental disclosure of confidential citizen data.

Recipients of this Service

Citizens of Iowa, Schools, Cities, County and State Employees

Request (include dollar amount and description of what will be purchased - i.e. services, hardware, software)

Project Timeline

Phase	Start Month/Year	End Month/Year	Estimated Amount
Scope Analysis	Oct/2009	Dec/ 2009	\$20,000
Design	Jan/2009	March/2009	
Implementation	April/2009	June/2009	

Resources Being Contributed (people or funds being contributed to the project by the sponsoring agency- include role/% of time or amount in dollars)

Agency Chief Information Officers, Information Security Officers and the Information Security Office are supportive of this objective and willing to contribute staff resources towards meeting this goal. We are currently forming a cross agency workgroup through the CIO Security Subcommittee to identify a means of accomplishing this project. Some funding can be obtained through agency support, but there currently is no central funding source for the State of Iowa able to fund this project.

IOWAccess Advisory Council Scoring Factors

Each IOWAccess Advisory Council member assigns a 1 to 10 point value on the following factors to your project proposal. These scores, plus your presentation before the Council and various discussion points, form the basis for the Council's decision on your proposal. Address each factor below:

1. Statutory requirement or other mandate

Is the project required by law or regulation, or is it needed to comply with state IT standards? Does the project fulfill a new mandate or is it required by existing law? Is it required by IT standards or necessary to interface with existing application?

2. Other funding source(s)

What other funding sources have been investigated and what were the results? Have they been applied for? What is available? Have transaction or other customer fees been considered? Is there a return to the IOWAccess Revolving Fund through transaction fees? Highest ranking for seeking/receiving outside funding.

3. Improved citizen access to government information

How is citizen access to government enhanced? Greater convenience? Better reliability? Proportion of manual/in person effort being replaced/eliminated? Faster response time? Easier to use? More secure? The greater the degree of citizen access to information, the more points.

4. Impact on citizens or the business they conduct with the governmental entity

What segment of the citizen population is affected? Is this just a select group or the public as a whole? How does the proposed solution meet an identified need vs. a "nice to have"? Is the primary beneficiary the citizen vs. does this enhance the entity's ability to serve the citizen? Highest ranking for most citizens served.

5. Enhanced access to government information/ greater interactivity

How does the project enhance citizen one-stop electronic access to government information and transactions or allow for greater interactivity? The most points for "beneficial" use of IT to revamp business processes. Highest for total replacement. Average if adds new dimension to existing service.

6. Collaboration

Does your project provide an opportunity for another governmental entity to share the resources or benefits? Can your project be used by another entity? The most points for projects benefiting multiple governmental entities or encouraging collaboration between entities. (May be demonstrated by letters of commitment from other entities.)

7. Chance for success

Describe why the project is well placed for success. Realistic timeline? Previous success rate? Sufficient support staff? Upper level management commitment? More points for projects with low technical and business risk and high chance of success.

8. Estimated financial cost/benefit

Provide a rough calculation of costs vs. benefits. The higher the ratio of estimated benefit to the estimated cost, the more points.

9. Transparency

How does the project enhance open and transparent government for citizens? More points for project with high usability in allowing citizens to quickly reach information or services.

10. Efficiency

Why is this project the "best" solution for the need? Are there alternatives and if so, why are they inadequate? More points for project that replaces outdated/legacy system or localized information access.

Acknowledgement of Conditions for Approval of IOWAccess Project

Project Approval Conditions

IOWAccess Revolving Fund project approvals are based upon the application materials submitted to the IOWAccess Advisory Council and approved by the Director of DAS. Recipients of IOWAccess projects are subject to the following conditions.

- The Iowa Accountable Government Act, Iowa Code Chapter 8E
- Information technology standards and practices that are applicable to “participating agencies”, the Office of the Governor, and elective constitutional or statutory officers pursuant to Iowa Code Section 8A.206.
- Iowa Administrative Code Section 11-25(8A) - Information Technology Operational Standards.
- Policies and procedures of the IOWAccess Advisory Council and DAS as outlined in this acknowledgement or published on their websites.

IOWAccess Project Policy Guides

The acceptance of an IOWAccess Project is based on the following:

- Sponsoring agency is responsible for the efficient and effective administration of IOWAccess Projects through the application of sound management practices.
- The IOWAccess Project Process is guidance only and describes a customary sequence used in software development. As such, sponsoring agencies are not required to conform to the IOWAccess Project Process.
- Sponsoring agency assumes responsibility for using IOWAccess funds in a manner consistent with program objectives and the terms and conditions of the IOWAccess Project.
- Sponsoring agency will commit appropriate resources in a timely manner to the project to prevent undue delay in project completion.
- Sponsoring agency will be responsible for compliance with audit requirements.
- Approval of one phase of an IOWAccess project does not mean that other phases will be approved. Each phase is subject to separate approval.

Guidelines for Costs

Allowable costs

To be allowable under IOWAccess Projects, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance of IOWAccess Projects.
- Be authorized or not prohibited under State or local laws or regulations.

- ✓ Not be included as a cost or used to meet cost sharing or matching requirements of any other State or Federal Project in either the current or a prior period, except as specifically provided by State law or regulation.

Reasonable costs

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining the reasonableness of a cost, consideration shall be given to:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the sponsoring agency or performance under the IOWAccess Project.
- Market prices for comparable goods or services.

Composition of Cost

Typical costs chargeable to IOWAccess Projects are:

- Cost of materials acquired, consumed, or expended specifically for the purpose of those Projects.
- Equipment and other capital expenditures detailed in the application and previously approved as part of the Project.

Amounts not recoverable as costs under one State or Federal Project may not be shifted to another State or Federal Project, unless specifically authorized by State or Federal legislation or regulation.

Availability of Funds

DAS Finance processes the disbursement of all funds for IOWAccess Projects. Qualifying expenditures for goods and services obtained from other than DAS-ITE or Iowa Interactive, LLC, must be paid by the sponsor and submitted to DAS for reimbursement. In order to facilitate the timely processing of IOWAccess Project reimbursements, entities must use the following process:

- The request must be submitted by the sponsor in writing or through e-mail to the IOWAccess Manager.
- The request must include the following information:
 - ✓ Identification of the IOWAccess Project for which reimbursement is being sought,
 - ✓ The amount of reimbursement requested,
 - ✓ Period of time covered by request,
 - ✓ A comprehensive description of the items covered by the request, and
 - ✓ Copies of any supportive documentation (e.g. vendor invoices, documentation for completed work).
- The IOWAccess Manager will review the supporting financial information and evaluate it against the originally approved project.

- When satisfied that the request meets the stated requirements, the IOWAccess Manager will recommend the request for approval for payment and submit it to DAS Finance for processing.
- In no case will the total reimbursement for each phase exceed the approved amount of the Project phase.

The sponsor seeking reimbursement of expenses is responsible for retaining all necessary documentation pertaining to the relevance and results of the work performed and will provide such documentation upon request. DAS Finance will refer the Auditor of State to the sponsor should there be any questions about the expenditures associated with the Project.

Sponsor Monthly Status Reports

No later than the 21st day of each month the sponsoring agency shall submit a status report to the IOWAccess Manager if work is being performed by a developer *other than DAS-ITE or Iowa Interactive, LLC*. This status report should include:

- A short narrative of the accomplishments for the month.
- Descriptions of any changes in tasks, resources, or issues materially affecting the project plan and, if necessary, a schedule with new target dates provided.

Changes to a Project

All changes to the Project, or the proposal that resulted in the Project, must be reviewed by the IOWAccess Advisory Council. The Sponsor must be prepared to appear before the IOWAccess Advisory Council to answer questions and provide any clarifications necessary prior to any action by the Council regarding a change to the Project. Reasons for requesting a change to the amount of the Project include, but are not limited to:

- Changes in the scope or objectives of the Project.
- Changes in the amount of project funding.
- Carryover of approved funding for a period of more than one year from the date of approval of the original funding.

All changes to an Project recommended by the IOWAccess Advisory Council must be subsequently approved by the Director of DAS.

Project Disputes

Iowa Code 679A.19 DISPUTES BETWEEN GOVERNMENTAL AGENCIES.

“Any litigation between administrative departments, commissions or boards of the state government is prohibited. All disputes between said governmental agencies shall be submitted to a board of arbitration of three members to be composed of two members to be appointed by the departments involved in the dispute and a third member to be appointed by the governor. The decision of the board shall be final.”

Sponsor Acceptance

Signing below will signify that sponsor acknowledges and agrees to the IOWAccess project approval conditions as defined in this document.

_____ Sponsor Signature	_____ IOWAccess Manager Signature
_____ Date	_____ Date